

Investing in Innovation Fund (i3)

Informational Webinar

March 30, 2010

Iowa Department of Education



Agenda

- Overview of i3 Program
- Eligibility
- Evidence
- Priorities
- Selection Criteria & Review Process
- Matching & Pre-Award Requirements
- Post-Award Requirements
- Important Dates & Closing



i3 Is One Part of Unprecedented Direct Federal Investment in Education

ARRA K-12 Investment
Aligned with Four Assurances



Race To The Top and Other Grants (\$9.7B in FY2009 Funding)

- \$4.35B - Race to the Top Fund, including \$350MM for development of assessments
- \$3.5B* - School Improvement Grants
- **\$650MM - Investing in Innovation Fund**
- \$650MM - Education Technology
- \$300MM* - Teacher Incentive Fund
- \$250MM - Statewide Longitudinal Data Systems

* Includes regular FY 09 appropriations



Investing in Innovation (i3) Fund Summary

Purpose

To provide competitive grants to applicants with a record of improving student achievement and attainment in order to expand the implementation of, and investment in, innovative practices that are demonstrated to have an impact on:

- Improving student achievement or student growth, closing achievement gaps, decreasing dropout rates, increasing high school graduation rates, or
- Increasing college enrollment and completion rates



Investing in Innovation (i3) Fund Summary

Funding

\$650 million to be obligated by September 30, 2010

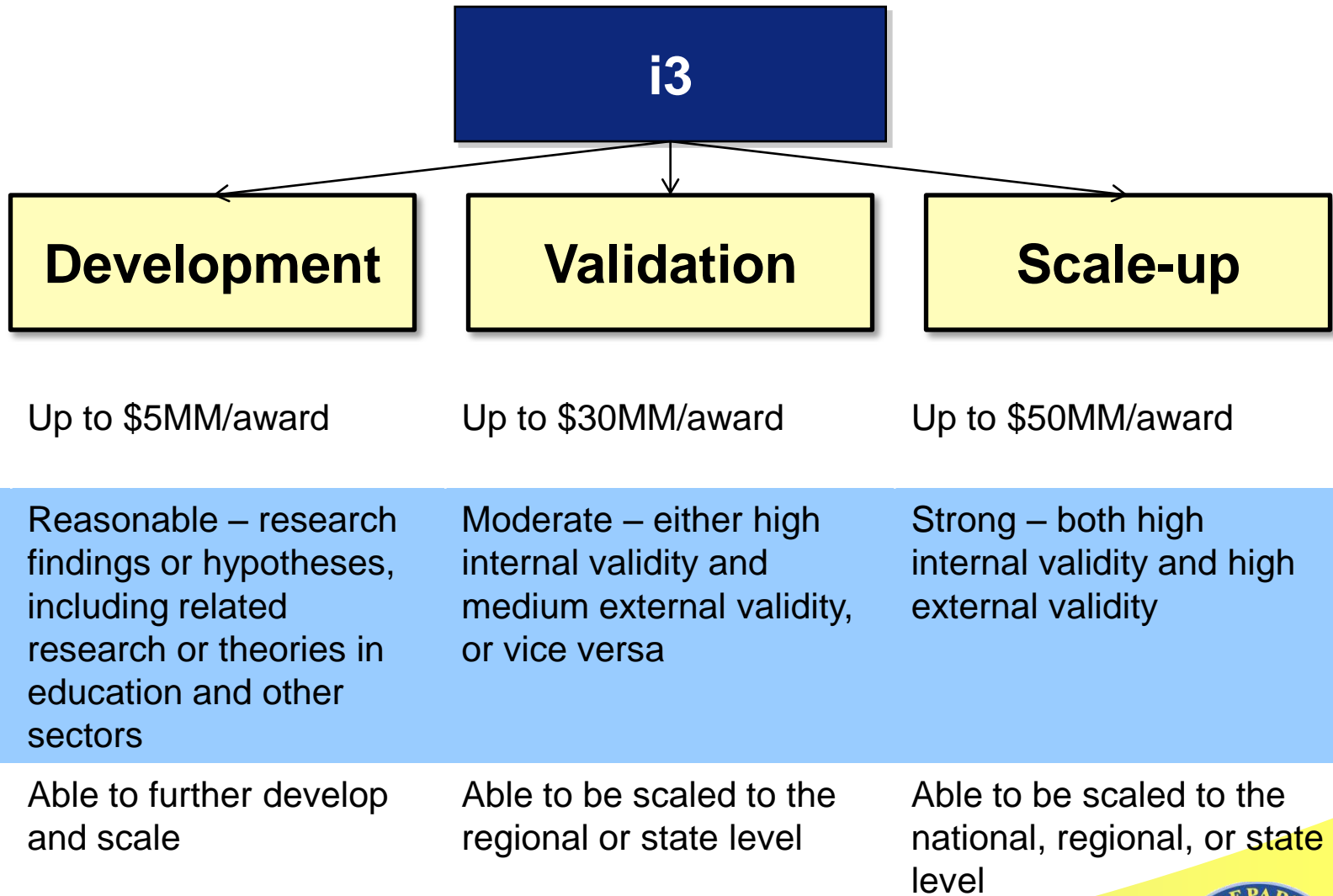
Applicants

Eligible applicants are:

- (1) Local educational agencies (LEAs)**
- (2) Nonprofit organizations in partnership with (a) one or more LEAs or (b) a consortium of schools**



Types of Awards Available Under i3



Eligible Applicant:

LEA

**TO RECEIVE A GRANT,
MUST**

- **Address one absolute priority**
- **Demonstrate that it:**
 - (a) significantly closed achievement gaps between groups of students or demonstrated success in significantly increasing academic achievement for all groups of students, and**
 - (b) made significant improvement in other areas**
- **Establish partnerships with private sector**
- **Secure commitment for required 20% private sector match**
- **Meet the evidence requirement for the type of grant for which it has applied**



Eligible Applicant:

**Non-profits, in partnership with LEA(s)
or a consortium of schools**

**TO RECEIVE A GRANT,
MUST**

- **Address one absolute priority**
- **Demonstrate that the non-profit organization has a record of significantly improving student achievement, attainment, or retention through its record of work with an LEA or schools**
- **Secure commitment for required 20% private sector match**
- **Meet the evidence requirement for the type of grant for which they have applied**



Grantee/Fiscal Agent

- The grantee is the fiscal agent, the party responsible for implementation of the grant and proper use of i3 grant funds
 - If an application is submitted by an LEA, applying on its own, the LEA is the grantee and the fiscal agent if selected for funding
 - If an application is submitted by a partnership that consists of a nonprofit organization and either one or more LEAs or a consortium of schools, any official partner can be the lead applicant and would become the grantee and fiscal agent if selected for funding

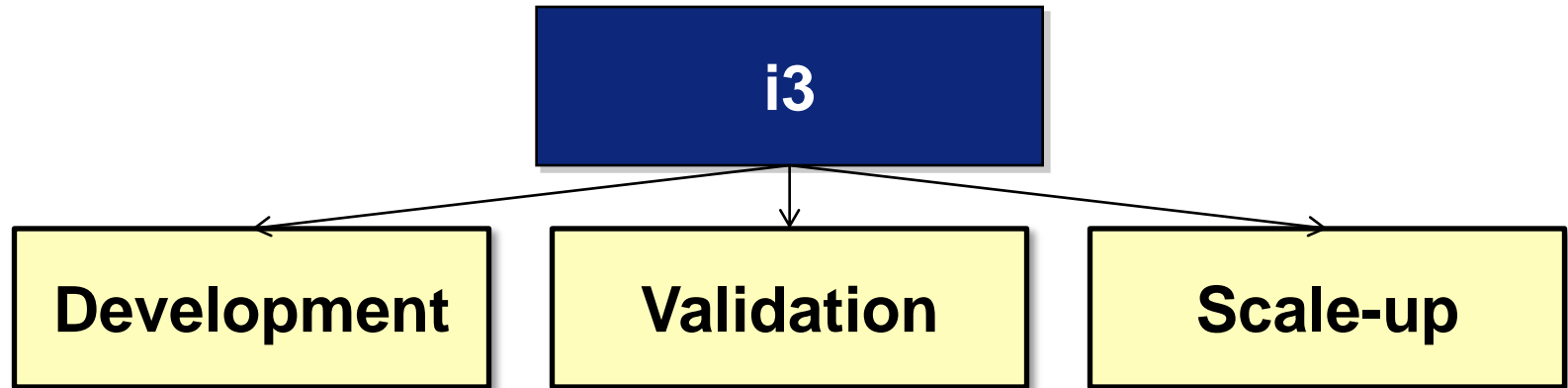


All Eligible Applicants Must Implement Practices, Strategies or Programs for High-need Students

High-need student means a student at risk of educational failure, or otherwise in need of special assistance and support, such as students who are living in poverty, who attend high-minority schools, who are far below grade level, who are over-age and under-credited, who have left school before receiving a regular high school diploma, who are at risk of not graduating with a regular high school diploma on time, who are homeless, who are in foster care, who have been incarcerated, who have disabilities, or who are limited English proficient.



Types of Awards Available Under i3



Estimated Funding Available

Up to \$5MM/award

Up to \$30MM/award

Up to \$50MM/award

Evidence Required

Reasonable – research findings or hypotheses, including related research or theories in education and other sectors

Moderate – either high internal validity and medium external validity, or vice versa

Strong – both high internal validity and high external validity

Scaling Required

Able to further develop and scale

Able to be scaled to the regional or state level

Able to be scaled to the national, regional, or state level



Strong Evidence: Scale-up

Internal Validity and External Validity

Evidence from previous studies whose designs can support causal conclusions (*i.e.*, studies with high internal validity), and studies that in total include enough of the range of participants and settings to support scaling up to the State, regional, or national level (*i.e.*, studies with high external validity)

Practice, Strategy, or Program in Prior Research

The same as that proposed for support under the Scale-up grant

Participants and Settings in Prior Research

Included the kinds of participants and settings proposed to receive the treatment under the Scale-up grant

Significance of Effect

Effect in prior research was statistically significant, and would be likely to be statistically significant in a sample of the size proposed for the Scale-up grant

Magnitude of Effect

Based on prior research, substantial and important for the target population for the Scale-up project



Strong Evidence: Scale-up (cont'd)

Examples of Strong Evidence

- (1) More than one well-designed and well-implemented experimental study or well-designed and well-implemented quasi-experimental study; or
- (2) One large, well-designed and well-implemented randomized controlled, multisite trial



Moderate Evidence: Validation

Internal Validity and External Validity

Evidence from previous studies whose designs can support causal conclusions (*i.e.*, studies with high internal validity) but have limited generalizability (*i.e.*, moderate external validity), or studies with high external validity but moderate internal validity

Practice, Strategy, or Program in Prior Research

The same as, or very similar to, that proposed for support under the Validation grant

Participants and Settings in Prior Research

Participants or settings may have been more limited than those proposed to receive the treatment under the Validation grant

Significance of Effect

Effect in prior research would be likely to be statistically significant in a sample of the size proposed for the Validation grant

Magnitude of Effect

Based on prior research, substantial and important, with the potential of the same for the target population for the Validation project



Moderate Evidence: Validation (cont'd)

Examples of Moderate Evidence

- (1) At least one well-designed and well-implemented experimental or quasi-experimental study, with small sample sizes or other conditions of implementation or analysis that limit generalizability;
- (2) At least one well-designed and well-implemented experimental or quasi-experimental study that does not demonstrate equivalence between the intervention and comparison groups at program entry but that has no other major flaws related to internal validity; or
- (3) Correlational research with strong statistical controls for selection bias and for discerning the influence of internal factors



Reasonable Hypothesis: Development

Internal Validity and External Validity Theory and reported practice suggest the potential for efficacy for at least some participants and settings

Practice, Strategy, or Program in Prior Research The same as, or similar to, that proposed for support under the Development grant

Participants and Settings in Prior Research Participants or settings may have been more limited than those proposed to receive the treatment under the Development grant

Significance of Effect Practice, strategy, or program warrants further study to investigate efficacy

Magnitude of Effect Based on prior implementation, promising for the target population for the Development project



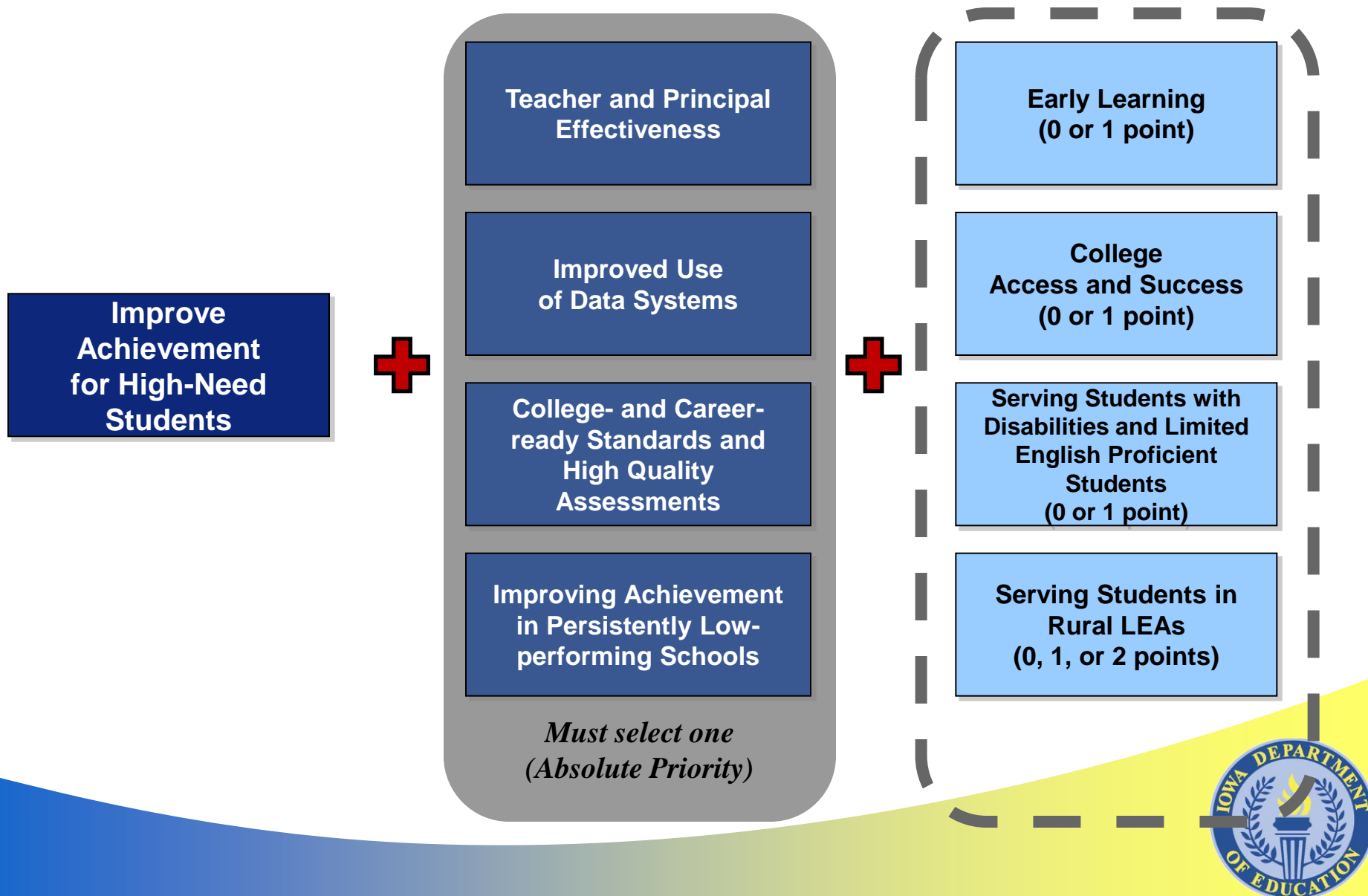
Reasonable Hypothesis: Development (cont'd)

Example of Reasonable Hypothesis

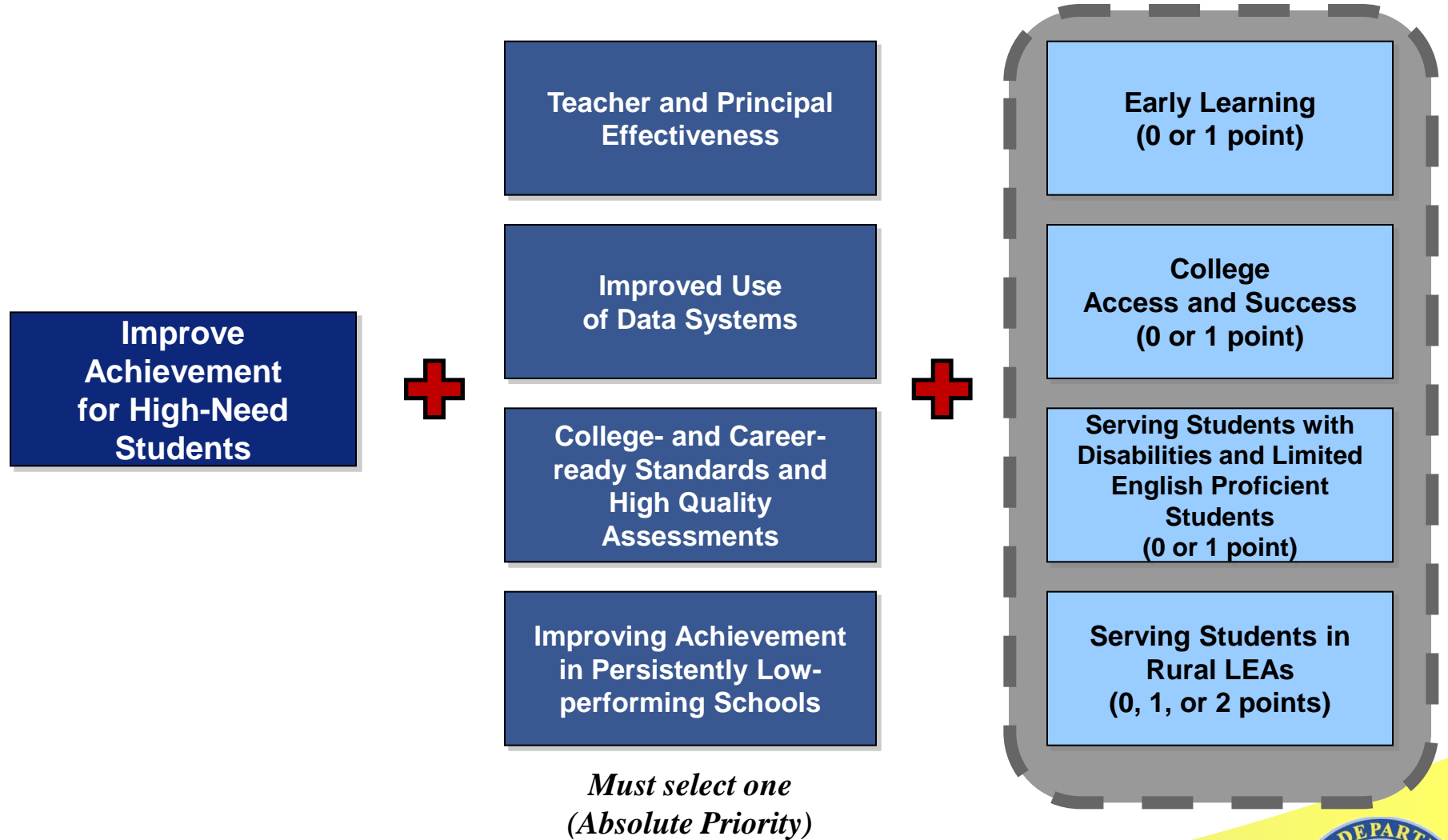
- (1) Evidence that the proposed practice, strategy, or program, or one similar to it, has been attempted previously, albeit on a limited scale or in a limited setting, and yielded promising results that suggest that more formal and systematic study is warranted; and
- (2) A rationale for the proposed practice, strategy, or program that is based on research findings or reasonable hypotheses, including related research or theories in education and other sectors



i3 Absolute Priorities



i3 Competitive Preference Priorities



Notes on i3 Selection Criteria and Points

- The selection criteria are worded slightly differently for each grant type
- The points assigned to each selection criterion vary by grant type
- Detailed wording for each selection criterion may be found in the Notices at the i3 website:
<http://www.ed.gov/programs/innovation/index.html>



i3 Selection Criteria and Points

Selection Criteria	Development	Validation	Scale-Up
A. Need for the Project and Quality of the Project Design	25	20	15
B. Strength of Research, Significance of Effect and Magnitude of Effect	10*	15	20
C. Experience of the Eligible Applicant	25	20	15
D. Quality of the Project Evaluation	15*	15	15
E. Strategy and Capacity to Bring to Scale or to Further Develop and Bring to Scale	5	10	15
F. Sustainability	10	10	10
G. Quality of the Management Plan and Personnel	10	10	10
Total Points	100	100	100

* Development grants will be judged in two tiers: all eligible applications will be scored on Criteria A, C, E, F, and G and the competitive preference priorities; then high-scoring applications will be scored on Criteria B and D by a different panel of reviewers.



Competitive Preference Priorities & Points

Early Learning

0 or 1 Point

**College
Access and Success**

0 or 1 Point

**Serving Students with
Disabilities and Limited
English Proficient Students**

0 or 1 Point

**Serving Students in
Rural LEAs**

Up to 2 Points

***POSSIBLE
TOTAL***

5 Points



i3 Matching Requirement

An eligible applicant must obtain matching funds or in-kind donations equal to at least 20 percent of its grant award. Selected eligible applicants must submit evidence of the full 20 percent private-sector matching funds following the peer review of applications.

- Only contributions from non-governmental (private) sources count towards the 20 percent matching requirement
- Contributions may be cash or in-kind
- Eligible applicants may count existing private sector support towards the required match so long as these funds are reallocated in support of the proposed project, and the applicant submits appropriate evidence of this commitment



(i3) Private Sector Match Requirement

The private sector matching requirement is 20% of the FEDERAL GRANT, not of the entire budget.*

For example, if a federal grant request is \$10 million, the match must be \$2 million, or 20% of \$10 million. The match is NOT 20% of the total budget (\$12 million), which would have been \$2.4 million. Rather, the match is 20% of the FEDERAL GRANT.

\$ 10,000,000 Federal Grant Request

+ \$2,000,000 Private sector match

\$ 12,000,000 Total Budget

* It is possible to request a waiver of the matching requirement.



Post Award Requirements

All i3 Grantees

MUST

- **Evaluation**
 - **Conduct an independent project evaluation***
 - **Cooperate with technical assistance provided by the Department and its program evaluation contractor**
 - **Share broadly the results of any evaluation (and data sets for Validation and Scale-up)**
- **Participate in, organize, or facilitate, as appropriate, communities of practice for the i3 program**

* Note: The quality of an applicant's project evaluation is also a selection criterion.



Submitting Intent to Apply

Intent to Apply Due: April 1, 2010

Information Requested

- A. Applicant's name, address and contact person's email**
- B. Type of applicant (LEA or Nonprofit applying in partnership with LEAs or consortium of schools)**
- C. Type of grant for which the applicant intends to apply (Development, Validation, or Scale-up)**
- D. The one absolute priority the applicant intends to address**
- E. All competitive preference priorities the applicant intends to address**

i3intent@ed.gov



Important i3 Dates

Applications:

Intent to Apply Due: April 1, 2010 (not required)

Applications Due: May 11, 2010, 4:30:00 pm DC Time

Applications Reviewed: Late Spring/ Summer 2010

All Grant Awards Announced: September 2010



Other Important Resources

Investing in Innovation Fund Website:

<http://www.ed.gov/programs/innovation/index.html>

- ☐ **Notice of Final Priorities, Requirements, Definitions, and Selection Criteria**
- ☐ **Application Package (includes the Notice Inviting Applications)**
 - ☐ **Eligibility Checklists**
- ☐ **Frequently Asked Questions**
 - ☐ **Evidence Summary Table**
 - ☐ **Selection Criteria Summary Table**
- ☐ **i3 Overview (PowerPoint)**
- ☐ **i3 At-A-Glance (Quick Reference)**



Send questions to:

i3@ed.gov

Thank you

